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IN THE UNITED STATES PATENT AND
TRADEMARK OFFICE

Applicant: ROSENDORF, CHARLES
Serial No: 09/848,191
Filed: May 3, 2001

Atty. Docket No: 1597-1070
Examiner: WASYLCHAK, Steven R.
Group Art Unit: 3624

For: SECURITIES ANALYSIS METHOD AND SYSTEM

Mail Stop AMENDMENT
Commissioner for Patents
United States Patent and Trademark Office
P.O. Box 1450
Alexandria, Virginia 22313-1450

Re: Office Paper mailed October 13, 2004

AMENDMENT UNDER 37 C.F.R. §1.111

Sir:

This amendment is in response to the Office Action mailed October 13, 2004, to which a response is due by January 13, 2005. Therefore, this response is timely filed.

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LAW OFFICES OF
MITCHELL P. NOVICK

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MONTCLAIR, NEW JERSEY 07042

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(973) 744-5150

PLEASE DELIVER THE FOLLOWING MATERIAL AS SOON AS POSSIBLE

TO: Mail Stop ^{AMENDMENT} ~~PARENT APPLICATION~~, Technology Center 3600

TELECOPIER NO.: 703/872-9306 DATE: January 13, 2005

FROM: Mitchell P. Novick, Esq. FILE NO. 1597-1070

RE: ROSENDORF - S/N 09/848,191 *** AMENDMENT and IDS ***

NUMBER OF PAGES (including this sheet): 23

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MESSAGE:

Enclosed are:

- (1) Transmittal form;
- (2) Fee Transmittal Form (with payment by credit card);
- (3) Amendment dated 01/13/2005; and
- (4) Information Disclosure Statement

If you have any questions, please contact me. Thank you.

Mitchell P. Novick

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PTO/SB/21 (09-04)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/848,191	
	Filing Date	05/03/2005	
	First Named Inventor	ROSENDORF, Charles Hillel	
	Art Unit	3624	
	Examiner Name	WASYLCHAK, Steven R.	
Total Number of Pages in This Submission	22	Attorney Docket Number	1597-1070

ENCLOSURES (Check all that apply)			
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC	
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences	
<input checked="" type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)	
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information	
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter	
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input type="checkbox"/> Other Enclosure(s) (please identify below):	
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer		
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund		
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____		
<input type="checkbox"/> Reply to Missing Parts/Incomplete Application	<input type="checkbox"/> Landscape Table on CD		
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	Remarks		
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm Name	Law Offices Of Mitchell P. Novick		
Signature	<i>Mitchell P. Novick</i>		
Printed name	Mitchell P. Novick, Esq.		
Date	01/13/2005	Reg. No.	30,305

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:			
Signature	<i>Mitchell P. Novick</i>		
Typed or printed name	Mitchell P. Novick	Date	01/13/2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/17 (12-04v2)

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Effective on 12/08/2004.
Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).**FEE TRANSMITTAL**
For FY 2005☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180.00

Complete if Known

Application Number	09/848,191
Filing Date	05/03/2001
First Named Inventor	ROSENDORF, Charles Hillel
Examiner Name	WASYLCHAK, Steven R.
Art Unit	3624
Attorney Docket No.	1597-1070

METHOD OF PAYMENT (check all that apply)☐ Check ☒ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____☐ Deposit Account Deposit Account Number: _____ Deposit Account Name: _____

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee
☐ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☐ Credit any overpayments

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FEE CALCULATION**1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES**Fee Description**

Each claim over 20 (including Reissues)

Fee (\$)	Small Entity Fee (\$)
50	25
200	100
360	180

Each independent claim over 3 (including Reissues)

Multiple dependent claims

Total Claims	39	Extra Claims	Fee (\$)	Fee Paid (\$)
<u>31</u>	<u>- 20 HP</u>	<u>0</u>	<u>x</u>	<u>\$0</u>

HP = highest number of total claims paid for, if greater than 20.

Indep. Claims	4	Extra Claims	Fee (\$)	Fee Paid (\$)
<u>4</u>	<u>- 3 HP</u>	<u>0</u>	<u>x</u>	<u>\$0</u>

HP = highest number of independent claims paid for, if greater than 3.

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
<u> </u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>

- 100 = / 50 = (round up to a whole number) x

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): Information Disclosure Statement

\$180

SUBMITTED BY

Signature	<i>Mitchell P. Novick</i>	Registration No. (Attorney/Agent)	30,305	Telephone	973-744-5150
Name (Print/Type)	Mitchell P. Novick, Esq.			Date	01/13/2005

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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